

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

COPY OF PAPERS
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In re application of: Chandra et al.

Serial No.: 09/852,934

Filed: May 10, 2001

For: Apparatus and Method for Providing
Secure Electronic Brokers

Group Art Unit: 2164

Examiner: Unknown

Attorney Docket No.: YOR920000826US1

Certificate of Mailing Under 37 C.F.R. § 1.8(a)

I hereby certify this correspondence is being deposited with the United States Postal Service as First Class mail in an envelope addressed to: Assistant Commissioner of Patents, Washington, D.C. 20231 on July 22, 2002.

By:

Krista Douthitt

TRANSMITTAL DOCUMENT

Assistant Commissioner of Patents
Washington, D.C. 20231

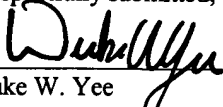
Sir:

ENCLOSED HEREWITH:

- Petition for Amendment Under 37 C.F.R. 1.48;
- Statement of Lack of Deceptive Intention Under 37 C.F.R. 1.48 of Paula K. Austel;
- Statement of Lack of Deceptive Intention Under 37 C.F.R. 1.48 of Ronald Perez;
- Statement of Lack of Deceptive Intention Under 37 C.F.R. 1.48 of Sean William Smith;
- Declaration and Power of Attorney for Patent Application (2);
- Written Consent of Assignee Under 37 C.F.R. 1.48;
- Recordation Form PTO-1595;
- Assignment (2); and
- Our return postcard.

A fee of \$50.00 is believed to be necessary. Please charge this fee to IBM Deposit Account No. 50-0510. No additional fees are believed to be necessary. If, however, any additional fees are required, I authorize the Commissioner to charge these additional fees which may be required to IBM Deposit Account No. 50-0510. No extension of time is believed to be necessary. If, however, an extension of time is required, the extension is requested, and I authorize the Commissioner to charge any fees for this extension to IBM Deposit Account No. 50-0510.

Respectfully submitted,


Duke W. Yee
Registration No. 64,285
CARSTENS, YEE & CAHOON, LLP
P.O. Box 802334
Dallas, Texas 75380
(972) 367-2001
ATTORNEY FOR APPLICANTS

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AUG 05 2002

GROUP 3600

#6

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

COPY OF PAPERS
ORIGINALLY FILEDIn re application of: **Chandra et al.**§
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§Group Art Unit: **2164**Serial No.: **09/852,934**Examiner: **Unknown**Filed: **May 10, 2001**Attorney Docket No.: **YOR920000826US1**For: **Apparatus and Methods for
Providing Secure Electronic Brokers**

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PETITION FOR AMENDMENT UNDER 37 C.F.R. 1.48Assistant Commissioner of Patents
Washington, D.C. 20231

RECEIVED

AUG 05 2002

GROUP 3500

Sir:

A fee of \$50.00 is required. No additional fees are believed to be required at this time. If, however, any additional fees are required, I authorize the Commissioner to charge these additional fees to Deposit Account No. 50-0510. No extension of time is believed to be necessary. If, however, an extension of time is necessary, I authorize the Commissioner to charge the necessary extension fees to Deposit Account No. 50-0510.

It is respectfully requested that the following inventors be added to the above-captioned patent application: (1) Paula K. Austel, (2) Ronald Perez, and (3) Sean William Smith.

These inventors were mistakenly omitted and the error occurred without deceptive intention. Statements of Lack of Deceptive Intention signed by Paula K. Austel, Ronald Perez, and Sean William Smith are attached hereto.

A Declaration and Power of Attorney for Patent Application signed by all inventors and a Written Consent of the existing assignee of the original inventors are also attached hereto.

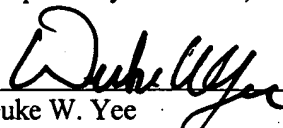
REMARKS

No new matter has been added to the specification or drawings by this petition.

**COPY OF PAPERS
ORIGINALLY FILED**

Date: 7/22/02

Respectfully submitted,



Duke W. Yee

Registration No. 34,285

CARSTENS YEE & CAHOON, LLP

P.O. Box 802334

Dallas, Texas 75380

(972) 367-2001

ATTORNEY FOR APPLICANTS



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: **Chandra et al.**

Serial No.: **09/852,934**

Filed: **May 10, 2001**

For: **Apparatus and Method
Providing Secure Electronic Brokerage**



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Group Art Unit: **2164**

Examiner: **Unknown**

Attorney Docket No.: **YOR920000826US1**

**COPY OF PAPERS
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STATEMENT OF LACK OF DECEPTIVE INTENTION UNDER 37 C.F.R. 1.48

Assistant Commission of Patents
Washington, DC 20231

Sir:

I, Paula K. Austel, state the following:

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- (1) that I am employed by International Business Machines Corporation ("IBM");
- (2) that I was inadvertently left out of the original filing of the above-captioned patent application;
- (3) that I need to be added as an inventor to the above-captioned patent application; and
- (4) that the error originally omitting me as an inventor occurred without any deceptive intent.


Paula K. Austel

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: **Chandra et al.**

Serial No.: **09/852,934**

Filed: **May 10, 2001**

For: **Apparatus and Method for
Providing Secure Electronic Brokers**

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Group Art Unit: **2164**

Examiner: **Unknown**

Attorney Docket No.: **YOR920000826US1**

STATEMENT OF LACK OF DECEPTIVE INTENTION UNDER 37 C.F.R. 1.48

Assistant Commission of Patents
Washington, DC 20231

Sir:

I, Ronald Perez, state the following:

- (1) that I am employed by International Business Machines Corporation ("IBM");
- (2) that I was inadvertently left out of the original filing of the above-captioned patent application;
- (3) that I need to be added as an inventor to the above-captioned patent application; and
- (4) that the error originally omitting me as an inventor occurred without any deceptive intent.



Ronald Perez

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: **Chandra et al.**

Serial No.: **09/852,934**

Filed: **May 10, 2001**

For: **Apparatus and Method for
Providing Secure Electronic Brokers**



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Group Art Unit: **2164**

Examiner: **Unknown**

Attorney Docket No.: **YOR920000826US1**

**COPY OF PAPERS
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STATEMENT OF LACK OF DECEPTIVE INTENTION UNDER 37 C.F.R. 1.48

Assistant Commission of Patents
Washington, DC 20231

Sir:

I, Sean William Smith, state the following:

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GROUP 3600

- (1) that I was employed by International Business Machines Corporation ("IBM") at the time of the filing of the above-captioned patent application;
- (2) that I was inadvertently left out of the original filing of the above-captioned patent application;
- (3) that I need to be added as an inventor to the above-captioned patent application; and
- (4) that the error originally omitting me as an inventor occurred without any deceptive intent.

Sean William Smith



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

application of: Chandra et al.

Serial No.: 09/852,934

Filed: May 10, 2001

For: Apparatus and Method for
Providing Secure Electronic Brokers

§ Group Art Unit: 2164

§

§ Examiner: Unknown

§

§ Attorney Docket No.: YOR920000826US1

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<p>Certificate of Mailing Under 37 C.F.R. § 1.8(a)</p> <p>I hereby certify this correspondence is being deposited with the United States Postal Service as First Class mail in an envelope addressed to: Assistant Commissioner of Patents, Washington, D.C. 20231 on <u>07.22.02</u></p> <p>By: <u>Krista Douthitt</u> Krista Douthitt</p>
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WRITTEN CONSENT OF ASSIGNEE UNDER 37 C.F.R. 1.48

Assistant Commissioner of Patents
Washington, D.C. 20231

Sir:

I, Douglas W. Cameron, am authorized to act on behalf of the assignee, International Business Machines Corporation ("IBM"). Paula K. Austel, Ronald Perez, and Sean William Smith need to be added as inventors to the above-referenced patent application. Paula K. Austel, Ronald Perez, and Sean William Smith were inadvertently omitted from the original filing of the patent application.

Documentary evidence of a chain of title from the original inventors to IBM is recorded in the assignment records of the United States Patent and Trademark Office (reel 012436 and frame 0923).

Date:

07/16/02

Respectfully submitted,

Douglas W. Cameron
Registration No. 31,596
IBM CORPORATION
Route 134/Kitchawan Road
P.O. Box 218
Yorktown Heights, NY 10598



COPY OF PAPERS
ORIGINALLY FILED

DECLARATION AND POWER OF ATTORNEY FOR PATENT APPLICATION

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name;

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled

APPARATUS AND METHODS FOR PROVIDING SECURE ELECTRONIC BROKERS

the specification of which (check one)

☐ is attached hereto.

☒ was filed on May 10, 2001
as Application Serial No. 09/852,934
and was amended on _____
(if applicable)

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information which is material to the patentability of this application in accordance with Title 37, Code of Federal Regulations, §1.56.

I hereby claim foreign priority benefits under Title 35, United States Code, §119 of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed:

Prior Foreign Application(s): Priority Claimed

(Number) (Country) (Day/Month/Year) Yes ☐ No ☐

I hereby claim the benefit under Title 35, United States Code, §120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, §112, I acknowledge the duty to disclose information material to the patentability of this application as defined in Title 37, Code of Federal Regulations, §1.56 which occurred between the filing date of the prior application and the national or PCT international filing date of this application:

(Application Serial #) (Filing Date) (Status)

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

POWER OF ATTORNEY: As a named inventor, I hereby appoint the following attorneys and/or agents to prosecute this application and transact all business in the Patent and Trademark Office connected therewith.

Manny W. Schecter (Reg. 31,722); Lauren Bruzzone (Reg. 35,082) Christopher A. Hughes (Reg. 26,914); John E. Hoel (Reg. 26,279); Joseph C. Redmond, Jr. (Reg. 18,753); Paul J. Otterstedt (Reg. 37,411); Douglas W. Cameron (Reg. 31,596); Stephen C. Kaufman (Reg. 29,551); Daniel P. Morris (Reg. 32,053); Louis J. Percello (Reg. 33,206); Marian Underweiser (Reg. 46,134); Robert M. Trepp (Reg. 25,933); Louis P. Herzberg (Reg. 41,500); Richard M. Ludwin (Reg. 33,010); Marc A. Ehrlich (Reg. 39, 966), Robert P. Tassinari, Jr. (Reg. 36,030); Derek S. Jennings (Reg. 41,473); Gail H. Zarick (Reg. 43,303); and Timothy M. Farrell (Reg. 37,321).

Send correspondence to: Duke W. Yee, Carstens, Yee & Cahoon, LLP, P.O. Box 802334, Dallas, Texas 75380 and direct all telephone calls to Duke W. Yee, (972) 367-2001

FULL NAME OF SOLE OR FIRST INVENTOR: Tushar D. Chandra

INVENTORS SIGNATURE: Tushar Deepak Chandra DATE: July 1 '02

RESIDENCE: 650 Harry Road
San Jose, California 95120

CITIZENSHIP: India

POST OFFICE ADDRESS: Same as above

FULL NAME OF SECOND INVENTOR: James T. Sherry

INVENTORS SIGNATURE: James T. Sherry DATE: 7/15/02

RESIDENCE: 300 Bowery
New York, New York 10012

CITIZENSHIP: United States

POST OFFICE ADDRESS: Same as above

FULL NAME OF THIRD INVENTOR: Charles P. Tresser

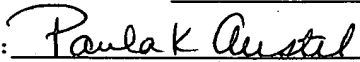
INVENTORS SIGNATURE:  DATE: 2/14/2002

RESIDENCE: 310 East 46th Street
New York, New York 10017

CITIZENSHIP: United States

POST OFFICE ADDRESS: Same as above

FULL NAME OF FOURTH INVENTOR: Paula K. Austel

INVENTORS SIGNATURE:  DATE: 2/14/2002

RESIDENCE: 8 Lake Road
Cortlandt Manor, New York 10567

CITIZENSHIP: United States

POST OFFICE ADDRESS: Same as above

FULL NAME OF FIFTH INVENTOR: Ronald Perez

INVENTORS SIGNATURE:  DATE: 2/14/2002

RESIDENCE: 65 Laurelton Road
Mt. Kisco, New York 10549

CITIZENSHIP: United States

POST OFFICE ADDRESS: Same as above

FULL NAME OF SIXTH INVENTOR: Sean William Smith

INVENTORS SIGNATURE: _____ DATE: _____

RESIDENCE: 13 Low Road
Hanover, New Hampshire 03755

CITIZENSHIP: United States

POST OFFICE ADDRESS: Same as above



DECLARATION AND POWER OF ATTORNEY FOR PATENT APPLICATION

COPY OF PAPERS
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As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name;

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled

APPARATUS AND METHODS FOR PROVIDING SECURE ELECTRONIC BROKERS

the specification of which (check one)

☐ is attached hereto.

☒ was filed on May 10, 2001
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and was amended on _____
(if applicable)

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I hereby claim foreign priority benefits under Title 35, United States Code, §119 of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed:

Prior Foreign Application(s): _____ Priority Claimed

(Number) (Country) (Day/Month/Year) _____ Yes _____ No

I hereby claim the benefit under Title 35, United States Code, §120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, §112, I acknowledge the duty to disclose information material to the patentability of this application as defined in Title 37, Code of Federal Regulations, §1.56 which occurred between the filing date of the prior application and the national or PCT international filing date of this application:

(Application Serial #) (Filing Date) (Status)

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

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FULL NAME OF SOLE OR FIRST INVENTOR: Tushar D. Chandra

INVENTORS SIGNATURE: _____ DATE: _____

RESIDENCE: 650 Harry Road
San Jose, California 95120

CITIZENSHIP: India

POST OFFICE ADDRESS: Same as above

FULL NAME OF SECOND INVENTOR: James T. Sherry

INVENTORS SIGNATURE: _____ DATE: _____

RESIDENCE: 300 Bowery
New York, New York 10012

CITIZENSHIP: United States

POST OFFICE ADDRESS: Same as above

FULL NAME OF THIRD INVENTOR: Charles P. Tresser

INVENTORS SIGNATURE: _____ DATE: _____

RESIDENCE: 310 East 46th Street
New York, New York 10017

CITIZENSHIP: United States

POST OFFICE ADDRESS: Same as above

FULL NAME OF FOURTH INVENTOR: Paula K. Austel

INVENTORS SIGNATURE: _____ DATE: _____

RESIDENCE: 8 Lake Road
Cortlandt Manor, New York 10567

CITIZENSHIP: United States

POST OFFICE ADDRESS: Same as above

FULL NAME OF FIFTH INVENTOR: Ronald Perez

INVENTORS SIGNATURE: _____ DATE: _____

RESIDENCE: 65 Laurelton Road
Mt. Kisco, New York 10549

CITIZENSHIP: United States

POST OFFICE ADDRESS: Same as above

FULL NAME OF SIXTH INVENTOR: Sean William Smith

INVENTORS SIGNATURE:  DATE: 2-19-2002

RESIDENCE: 13 Low Road
Hanover, New Hampshire 03755

CITIZENSHIP: United States

POST OFFICE ADDRESS: Same as above